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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.
36194/42366

In Re Application Of:
Tully et al.

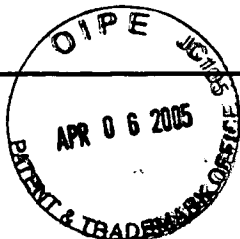
Serial No.
10/692,067

Filing Date
October 22, 2003

Examiner
To be determined

Group Art Unit
3628

Title:
System And Method For The Automated Brokerage Of Financial Instruments



Address to:
Assistant Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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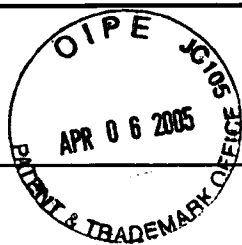
Tully et al.

Serial No.
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Examiner
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3628



Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.
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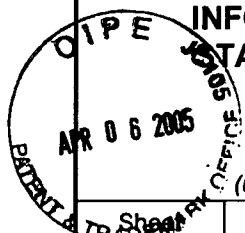
Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	10/692,067
Filing Date	October 22, 2003
First Named Inventor	Tully et al.
Art Unit	3628
Examiner Name	To Be Determined
Attorney Docket Number	36194 / 42366



U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 4486853	12/4/1984	Parsons	
		US- 4674044	6/16/1987	Kalmus et al.	
		US- 4694397	9/15/1987	Grant et al.	
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		US- 5557798	9/17/1996	Skeen et al.	
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		US- 5890140	3/30/1999	Clark et al.	
		US- 5915209	6/22/1999	Lawrence	
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		US- 6029146	2/22/2000	Hawkins et al.	
		US- 6105005	8/15/2000	Fuhrer	
		US- 6134535	10/17/2000	Belzberg	
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		US- 6772132	8/3/2004	Kemp, II et al.	
		US- 20020019799	2/14/2002	Ginsberg et al.	

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/692,067
				Filing Date	October 22, 2003
				First Named Inventor	Tully et al.
				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	2	of	5	Attorney Docket Number	36194 / 42366

	US-	20020029180	3/7/2002	Kirwin et al.	
	US-	20020032635	3/14/2002	Harris et al.	
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	US-	20030125982	7/3/2003	Ginsberg et al.	
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	US-	20030139998	7/24/2003	Gilbert et al.	
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	US-	20030154152	8/14/2003	Gilbert et al.	
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	US-	20030200167	10/23/2003	Kemp, II et al.	
	US-	20030220865	11/27/2003	Lutnick	

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				Art Unit	3628
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Sheet	3	of	5	Attorney Docket Number	36194 / 42366

	US-	20030236737	12/25/2003	Kemp, II et al.	
	US-	20040019494	1/29/2004	Ridgeway et al.	
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	US-	20050027635	2/3/2005	Monroe et al.	
	US-	20050038731	2/17/2005	Sweeting et al.	
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	US-	20050060255	3/17/2005	Heaton	
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				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	4	of	5	Attorney Docket Number	36194 / 42366

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature	/Michael Zecher/	Date Considered	12/02/2008
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				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	5	of	5	Attorney Docket Number	36194 / 42366

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²

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